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**PATENT**  
Attorney's Docket No. 1232-4421US1

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants: UEHARA et al. Group Art Unit: 1765  
Serial No.: 09/664,715 Examiner: Kin Chan Chen  
Filed : September 19, 2000 Confirmation No. 1475  
For : WAFER PROCESSING APPARATUS, WAFER PROCESSING METHOD, AND  
SEMICONDUCTOR SUBSTRATE FABRICATION METHOD

**RECEIVED**  
FEB 22 2002  
TC 1700

Mailing Date of NOA: Jan. 9, 2002

**FOURTH INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
Washington, D.C. 20231

**MATCH & RETURN**

Sir:

This Information Disclosure Statement is filed in accordance with 37 C.F.R. §§1.56, 1.97 and 1.98. The item(s) listed on the attached Form PTO-1449, may be deemed to be pertinent to the above-identified application and are made of record to assist the Patent and Trademark Office in its examination of this application. The Examiner is respectfully requested to fully consider the items and to independently ascertain their teaching.

1. ☒ For each of the following items listed on the enclosed copy of Form PTO-1449 that is not in the English language, an English language translation of that item or a portion thereof or a concise explanation of the relevance of that item is enclosed.
2. ☐ For each of the following items listed on the enclosed copy of Form PTO-1449 that is not in the English language, a concise explanation of the relevance of that item is incorporated in the specification of the above-identified application.
3. ☐ Any copy of the items listed on the enclosed copy of Form PTO-1449 that is not enclosed with this Information Disclosure Statement was previously cited by or submitted to the Patent and Trademark Office in the present Application, filed \_\_\_\_\_.
4. ☐ No fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with:
  - ☐ 37 C.F.R. §1.97(b)(1), within three months of the filing date of the above-identified application or filing date of the continued prosecution application filed concurrently herewith; or
  - ☐ 37 C.F.R. §1.97(b)(2), within three months of the date of entry into the national stage as set forth in §1.491 in an international application; or

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- ☐ 37 C.F.R. §1.97(b)(3), before the mailing date of a first Office action on the merits, whichever event occurred last.
5. ☐ No fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(c), after the period specified in paragraph 4 above but before the mailing date of a final action or a Notice of Allowance (where there has been no prior final action), and is accompanied by one of the certifications pursuant to 37 C.F.R. §1.97(e) set forth in paragraph 9 below.
6. ☐ A fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(c), after the period specified in paragraph 4 above but before the mailing date of a final action or a notice of allowance (where there has been no prior final action):
- ☐ A check in the amount of \$240.00 is enclosed in payment of the fee.
- ☐ Charge the fee to Deposit Account No. 13-4503. Order No. \_\_\_\_\_. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.
7. ☒ A fee of \$180.00 is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(d), after the mailing date of a final action or a notice of allowance, whichever comes first, but before payment of the issue fee, and is accompanied by:
- one of the certifications pursuant to 37 C.F.R. §1.97(e) set forth in paragraph 9 below;
  - a Request Form for filing of an information disclosure statement; and
  - the fee due under 37 C.F.R. §1.17(i)(1) which is paid as set forth in paragraph 10 below.
8. ☐ A fee is due under 37 C.F.R. §1.17(i)(1) for this Information Disclosure Statement since it is being filed in compliance with:
- ☐ 37 C.F.R. §1.313(b)(3), after the issue fee has been paid and information cited in this Information Disclosure Statement may render at least one claim unpatentable and is accompanied by the attached Petition To Withdraw Application From Issue;
  - ☐ 37 C.F.R. §1.313(b)(5), after the issue fee has been paid and information cited in this Information Disclosure Statement is to be considered in a Continuation application upon abandonment of the instant application and is accompanied by the attached Petition To Withdraw Application From Issue.
  - The fee due under 37 C.F.R. §1.17(i)(1) is paid as set forth in paragraph 10 below.
9. ☒ I hereby certify that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.

☐ I hereby certify that no item of information in the Information Disclosure Statement filed herewith was cited in a communication from a foreign patent office in a counterpart foreign application or,

to my knowledge after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

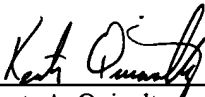
10. ☒ A check in the amount of \$180.00 is enclosed in payment of the fee due under 37 C.F.R. §1.17(p).  
☐ Charge the fee due under 37 C.F.R. §1.17(p) to Deposit Account No. 13-4503, Order No. 1232-4421US1. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.
- ☒ The Commissioner is hereby authorized to charge any deficiency for fees which may be required for this Information Disclosure Statement, or credit any overpayment to Deposit Account No. 13-4503, Order No. 1232-4421US1.

Respectfully submitted,

MORGAN & FINNEGAN, L.L.P.

Dated: February 15, 2002

By:

  
\_\_\_\_\_  
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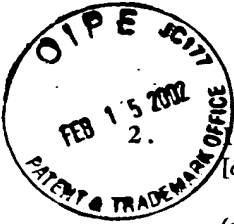
**CORRESPONDENCE ADDRESS:**  
MORGAN & FINNEGAN, L.L.P.  
345 Park Avenue  
New York, New York 10154

# REQUEST FORM FOR FILING OF AN INFORMATION DISCLOSURE STATEMENT

The company patent representative or foreign patent associate is requested to complete this form when forwarding information or prior art to U.S. Patent Attorney for filing an Information Disclosure Statement with respect to a pending U.S. patent application.

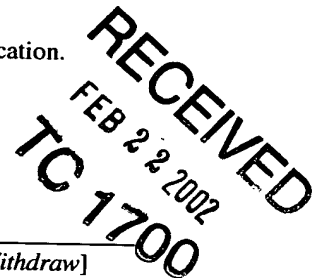
## 1. IDENTIFYING INFORMATION [complete all items 1(a)-(e) below]

- (a) Inventor(s) Fumio Uehara, et al.  
(b) U.S. Application No. 09/664,715  
(c) U.S. Filing Date September 19, 2000  
(d) Your Reference 1232-4421US1  
(e) Our Reference P199-1185USA / CFM 1224 USA



## 2. INFORMATION DISCLOSURE STATEMENT FILING PROCEDURE [complete item 2(a), 2(b) or 2(c) below]

- (a) ☐ Certification is not required OR payment of PTO fee is elected instead of certification. Accordingly, the certification statement of item 3 is not completed.  
(b) ☒ Certification and Petition are required under Rule 97(d) with PTO fee payment. Accordingly, the certification statement of item 3(a) or (b) is completed below.  
(c) ☐ Other- specify \_\_\_\_\_  
(e.g., file continuation or file continuation with Petition to Withdraw]



## 3. CERTIFICATION STATEMENT [complete item 3(a) or 3(b) below if applicable]

- (a) ☒ Each item of information for this request for filing of an Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application on January 4, 2002 [specify date]. (37 C.F.R. §1.97(e)(1)).

or

- (b) ☐ No item of information for this request for filing an Information Disclosure Statement: (1) was cited in a communication from a foreign patent office; or (2) was known to any individual designated in 37 C.F.R. §1.56(c) (i.e., inventor; company patent representative or foreign patent associate who prepares or prosecutes the application; or other person who is substantively involved in the preparation or prosecution of the application) before \_\_\_\_\_ [specify date]. (37 C.F.R. §1.97(e)(2)).

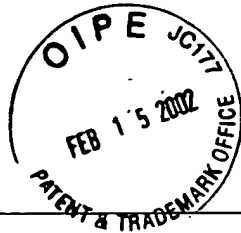
The undersigned certifies that all statements made above of my own knowledge are true and that all statements made on information and belief are believed to be true after making reasonable inquiry.

- (c) ☒ File an Information Disclosure Statement at the U.S. Patent and Trademark Office as soon as possible on or before April 4, 2002 [date specified should be within 3 months of the above Item 3(a) or 3(b) date].

February 13, 2002  
Date

Y. Eikawa  
Signature  
Name: Yukimitsu Eikawa  
☐ Company Patent Representative  
☒ Foreign Patent Associate

Information submitted by:  
[check box applicable]



FORM PTO-1449		Attorney Docket: 1232-4421US1	Divisional of Serial No.: 09/664,715				
<u>INFORMATION DISCLOSURE CITATION</u>		Applicant: Uehara et al.					
		Filing Date: 9/19/2000	Group Art Unit: 1765				
<b>U.S. PATENT DOCUMENTS</b>							
Examiner Initial		Document Number	Date	Name	Class	Sub-Class	Filing Date
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AJ						
<b>FOREIGN PATENT DOCUMENTS</b>							
Examiner Initial		Patent No.	Date	Country	Class	Sub-class	English Translation
KCC	AK	JPA 7-302889	11/14/95	Japan	—	—	Abstract
	AL						
	AM						
	AN						
	AO						
	AP						
	AQ						
	AR						
	AS						
<b>OTHER DOCUMENTS (Including Author, Title, Date, etc.)</b>							
KCC	AU	Chinese Office Action dated Jan. 4, 2002 issued by the Patent Office of P. R. China and the English translation of the Office Action.					
	AV						
	AW						
<small>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP §609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.</small>							
KCC - Uehara et al. 04-15-02							